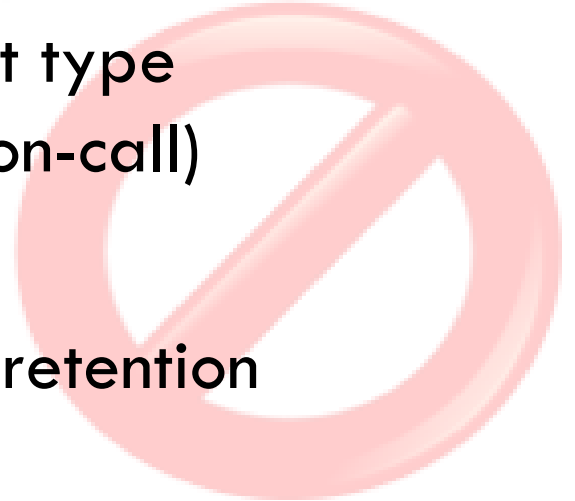


# LOCAL AGENCY A&E CONSULTANT PROCUREMENT PROCESS

Most Frequent Errors/Deficiencies

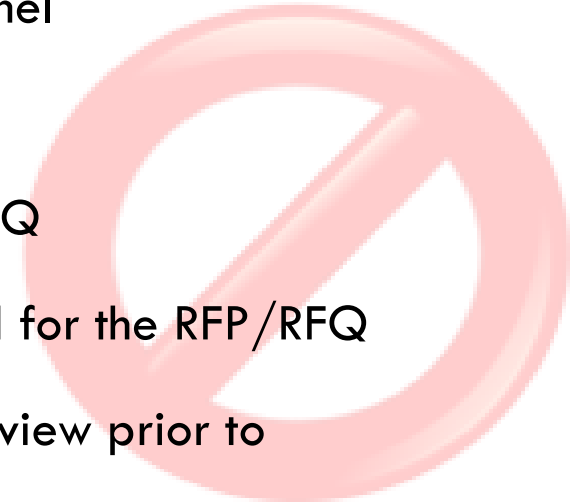
# Most frequent errors during Procurement Planning Phase

- ❑ No independent cost estimate prior to advertising; “not-to-exceed” \$ amount
- ❑ Inadequate determination of project type (single phase vs. multiple phase vs. on-call)
- ❑ No method of payment for contract
- ❑ Poor record keeping and document retention



# Most frequent errors during Solicitation and Advertisement Phase

- ❑ Lack of evaluation criteria with level of importance (weights) in RFP/RFQ
- ❑ No Conflict of Interest Statements by selection panel
- ❑ No method of payment specified in RFP/RFQ
- ❑ No cost proposal requirement specified in RFP/RFQ
- ❑ Inadequate/undocumented advertisement method for the RFP/RFQ
- ❑ Inadequate documentation of a responsiveness review prior to acceptance of the RFP/RFQ



# Most frequent errors during Evaluation and Selection Phase

- ❑ Lack of retention of original score sheets from the evaluation process
- ❑ Inadequate documentation during the secondary evaluation process/interview portion
- ❑ Actual evaluation criteria differ from original described in the RFP/RFQ without appropriate documentation



# Most frequent errors during Contract Conformance Review by Caltrans Audits & Investigation (A&I)

- ❑ Missing cost proposals for the subconsultants
- ❑ Missing and/or incomplete certification forms (10-Ks)
- ❑ Missing breakdown of ODCs
- ❑ Incomplete or incorrect cost proposal format used
- ❑ Unallowable method of payment used (rate sheets)
- ❑ Mark-ups included in cost proposals
- ❑ Missing fiscal provisions in Standard Agreement (boilerplate)
- ❑ Incomplete Internal Control Questionnaire (ICQ)
- ❑ Inconsistent Indirect Cost Rate (ICR) in 10-Ks and the cost proposal



# Most frequent errors during Contract Cost negotiation Phase

- ❑ No documented price/fee negotiations
- ❑ Contract cost proposal does not meet LAPM standard (Exhibit 10-H)



# Most frequent errors during Contract Execution Phase

- ❑ Lack of Contract Reviewer Checklist (Exhibit 10-C)
- ❑ Incomplete fiscal and miscellaneous provisions in final contract
- ❑ Lack of documented contract approval process

